



State of Missouri
Secretary of State's Office

**Fiscal 2001
Records Services Division
Annual Report**

**MATT BLUNT
SECRETARY OF STATE**



A message from the **Secretary of State**

Governor Holden and Members of the General Assembly:

I am pleased to present the Records Services Division Annual Report for 2000 – 2001. It highlights the Division's activities and accomplishments during Fiscal Year 2001.

Records Services plays a vital role in preserving, protecting, and providing access to the records that document the rights of Missouri's citizens. The Missouri State Archives is the official repository for state records of permanent value. The Archives makes historical records available at the James C. Kirkpatrick State Information Center in Jefferson City and provides access to a host of resources via the Internet. In fact, visits to the Archives via the Internet increased 72% over the prior year.

The Missouri State Archives Local Records Preservation Program offers records management consultation, conservation services, and grant funding to assist local governments in preserving and centralizing their public records. The program awarded more than \$397,000 in Fiscal Year 2001. This funding supported dozens of executive government offices in courthouses, city government, and two dozen public schools.

The State Records Management Program provides a variety of services to help officials effectively manage the state's records whether they are found on paper, on computers, or on microfilm. Despite today's widespread use of information technologies to create and maintain records, state government continues to produce vast quantities of paper records. During Fiscal Year 2001, a second annex facility was opened to house those records. At the current growth rate, this facility will accommodate the state's needs through Fiscal Year 2006.

I am honored to serve as our state's records keeper. I look forward to our continued successes and our continued improvements in safeguarding Missouri's documentary heritage.

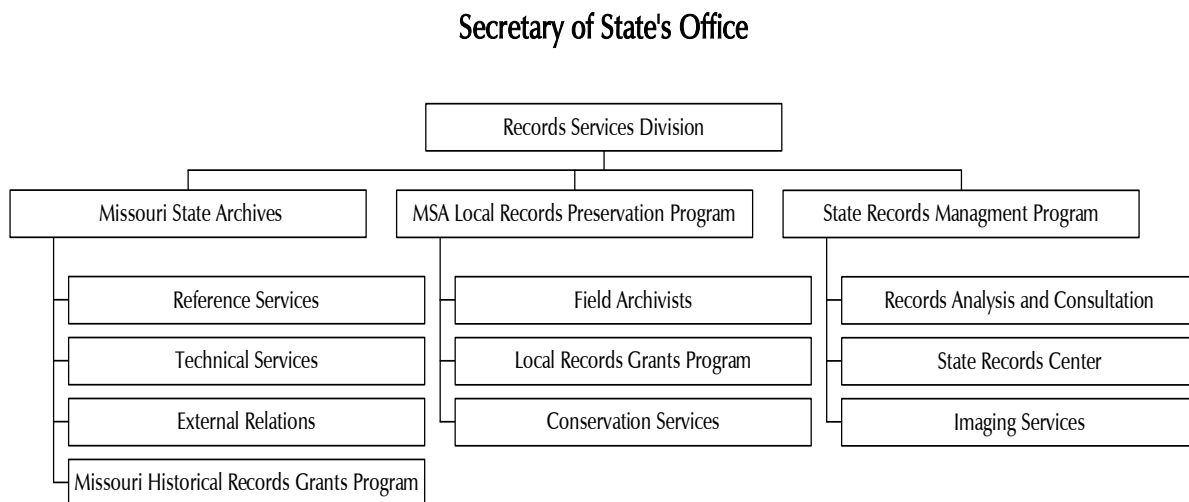
Sincerely,
Matt Blunt
Secretary of State

Record Services

Records Services mission is to ensure the state's current and historical records are accessible to Missouri citizens. The division fulfills the Secretary of State's statutory duty to manage and safeguard state records. The State and Local Records Law (RSMo 109.200 to 109.310) prescribes that the division provide state and local governments with the tools to efficiently and economically manage their records from creation and use to preservation or destruction.

To accomplish its mission, the division's tasks are divided into three major areas of expertise – Missouri State Archives (MSA), MSA Local Records Preservation Program, and the State Records Management Program.

The following chart depicts the organizational structure of the division.



Missouri State Archives

The Missouri State Archives is official repository for state records of permanent value. Its mission is to identify, collect, preserve, and make available to elected officials, state government, historians, students, genealogists, and the general public the permanent and historically valuable records of Missouri's state and local governments.

The Archives holdings date from 1770 and include: executive, legislative, and judicial records; records of state departments and agencies; land records; military records; state publications; Supreme Court Case files; and manuscript, photograph, and reference collections. Among its holdings are documents relating to French and Spanish colonial rule, early statehood, the New Madrid Earthquakes, slavery, the Civil War, and political reform.

The Archives currently holds more than 135 million pages of paper; 215,000 photographs; 14,225 books; 55,000 reels of microfilm, and 180,000 microfiche all of which are available for public research.

Patrons

More people than ever are taking advantage of the services that the Archives offers. Patrons continue to access the Archives through traditional means – in person, via telephone, and via mail. However, they are also gaining access in new ways such as e-mail and the Internet. Increasingly, patrons are checking the Archives web site first. Visits to the Archives web pages have increased significantly over the prior fiscal year. During FY00, Archives pages were accessed 527,505 times. Web requests jumped to 907,746 – an increase of 72% – during FY01. The following tables illustrate the vast difference between web access and traditional requests.

Table 1. Traditional Requests

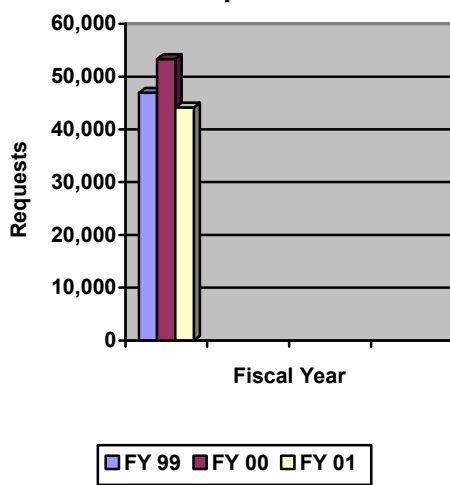
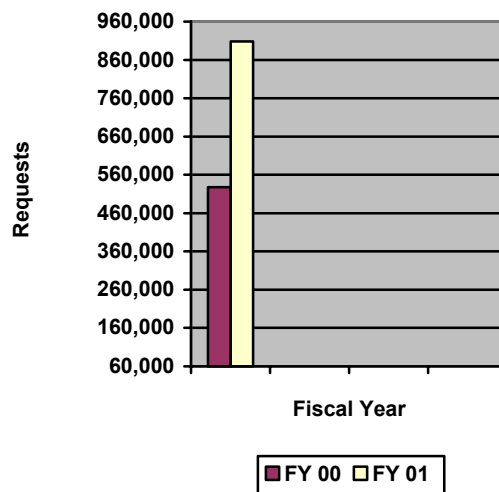


Table 2. Web Page Requests



Projects

One of the many judicial records projects in FY01 was the first phase of the St. Louis Circuit Court Project. These records have proven to be an unusually rich source of information that document westward expansion during the colonial and early statehood periods. Information about leading figures of the westward expansion, such as Lewis and Clark, U.S. Senator Thomas Hart Benton, and Moses and Stephen Austin, are included in the collection.

As an official project of the [Save America's Treasures](#) initiative, the project consists of conservation treatment of the documents, followed by preservation microfilming to make them available for research.



State Archivist Kenneth H. Winn discusses the national significance of early St. Louis Circuit Court records and the Secretary of State's efforts to preserve case files and make them accessible for researchers with St. Louis Circuit Clerk Mariano Favazza and Missouri Supreme Court Chief Justice Steve Limbaugh.

Exhibits

The Archives exhibits allow patrons to see Missouri's rich history. The documents, photographs, and artifacts take patrons to another place and time. They are designed to encourage visitors to seek new perspectives and gain an understanding of Missouri's journey from the past to the present. The Archives presents such opportunities in both the physical and virtual worlds. *Quest for a Cure: Care and Treatment in Missouri's First State Mental Hospital* opened on May 1, 2001 to a large and enthusiastic audience. This exhibit examines the history of the Fulton State Hospital, which first opened in 1851 as the Missouri State Lunatic Asylum. *Quest for a Cure* employs artifacts, oral history interviews, and more than 250



Quest for a Cure exhibit opening May 1, 2001

photographs, letters, drawings and government records to document the hospital's past.

The exhibit traces the medical advances, political struggles, and community involvement that helped shape the institution. Chronicles of the hospital's optimistic beginnings when it was believed that up to ninety percent of all patients would eventually return home cured, accounts of the facility's occupation and looting by Union troops

during the Civil War, and anecdotes from the spectacular fire that destroyed the administration building in 1956 are just a few of the exhibit's highlights.

Richard Lael and Margot Ford McMillen, faculty from Westminster College, and Barbara Brazos, a registered nurse at Mid-Missouri Mental Health Center, served as guest curators for the exhibit.

The Archives lends its physical exhibits, free of charge, to local museums, libraries, historical societies, and educational institutions.

Through online exhibits the Archives extends its reach past physical barriers. Patrons have access to the Archives when and where they want it. One such exhibit is the Harry S Truman Election Anniversary Project.

This exhibit is a special commemoration of the fiftieth anniversary of Truman's quest for presidency in 1948. It presents Missourians' stories in their own words. Through the exhibit, visitors can share in their experiences and gain a greater understanding of Truman's determination to win the election.



The Harry S Truman Election Anniversary Project

<http://www.sos.state.mo.us/archives/exhibits/TrumanProject/entry.html>

Missouri Historical Records Advisory Board

The Missouri Historical Records Advisory Board (MHRAB) is the central advisory body for historical records planning and for projects relating to historic records that are developed and carried out within the state. The MHRAB provides state-level appraisal of grant proposals submitted to the National Historical Publications and Records Commission by Missouri repositories and serves as the review and award panel for grant applications submitted to the Missouri Historical Records Grant Program and the Local Records Preservation Program.

Board members are appointed by the Governor, with the advice and consent of the Senate, and administrative responsibilities are handled by the Secretary of State who is the Board's coordinator. Federal regulations require members to have experience and interest in the collection, administration and use of historical records, and a dedication to the preservation

and access of Missouri's documented heritage. Over the years, archivists, curators, records managers, legislators, librarians and family historians have served on the MHRAB.

Members of the Missouri Historical Records Advisory Board – FY01

Matt Blunt, Coordinator
Secretary of State

Robert P. Neumann
Director, Greene County Archives
Springfield

Kenneth H. Winn, Deputy Coordinator
State Archivist

Anne G. Rottmann
Head Librarian, State Capitol
Legislative Library
Jefferson City

Honorable Gracia Backer
Missouri House of Representatives
New Bloomfield

Dr. Bonnie Stepenoff
Assistant Professor
Southeast Missouri State University
Cape Girardeau

Mary Louise Brown
Archivist and Curator of Collections
Anheuser-Busch Corporate Archives
St. Louis

Jeannette A. Wessel
Records Manager, St. Louis County
Government Records Center, Overland

Steven P. Gietschier
Director of Historical Records
The Sporting News, St. Louis

Addison M. Williams, Jr.
Family Historian
Jefferson City

Dr. James Goodrich, Director
State Historical Society
Columbia

Dr. Benedict K. Zobrist
Director Emeritus, Harry S Truman
Library and Museum, Independence

Julie M. March
Director, The History Museum for
Springfield-Greene County, Springfield

MSA Local Records Preservation Program

The mission of the Local Records Program is to assist Missouri local governments in historical records preservation and records management. Hundreds of governmental entities participated in a variety of efforts from conservation treatments to computerized record inventories to reclamation of office space through preservation microfilming and co-sponsored grant projects to extraneous records disposal. The majority of program clients came from county and municipal offices, and public schools. Seventy-three offices co-sponsored work through the grant program. Grants to local governments have become a major force in preserving and centralizing public records for government and public access at the Missouri State Archives.

Records Management and Archival Preservation

Field archivists bring records management and archival preservation principles and practices to local governments throughout the state. These trained professionals work closely with local officials in the application of proven records management and archival strategies.

Records Consultation

Field archivists worked with the Nodaway County Clerk, City of Hannibal, and Douglas County Recorder to create comprehensive inventories of their records. Records inventories serve to identify and quantify records. Local governments use this information to control, protect, and plan for the security and preservation of their records, thus ensuring that the public interests of access and use are maintained. The archivists have created a database containing more than 440 such inventories. The database is available at <http://sosweb.sos.state.mo.us/countyinventory/>. A database of executive and judicial records is available for access by local governments and the public at the Missouri State Archives.



Archivist Mike Everman and Washington University intern Janet Joerling-Leonard appraising circuit court records in St. Louis

Archivists assisted officials in the Cedar County Courthouse, Warrensburg City Hall, and Mid-River Regional Library in Jefferson City in the implementation of retention schedules. Retention schedules detail how long records must be maintained for legal, fiscal, administrative, and archival purposes. Retention schedules provide the basis for proper destruction of records that no longer have value. Thus, these officials were able to destroy hundreds of cubic feet of obsolete records and reclaim valuable office space.

Records Appraisal

Our archivists and local public officials cooperated to preserve historic executive and judicial files in many counties including Callaway, Christian, Lawrence, Linn, and Morgan counties. Volunteers in Adair, Howell, Jasper, Pemiscot, Jackson, and Webster counties expanded



Archivist Mike Everman and student interns review St. Louis circuit court records.

their preservation efforts. Staff and student interns at the St. Louis circuit court project revealed significant colonial and territorial records for the founding of local government in the Trans-Mississippi West. Records in Cooper County provide a new perspective on the social history of the Boonslick and work in Howell County is leading to new understandings about the reconstitution of local government following the Civil War. Circuit clerks in Dade, Cooper, and St. Louis supported significant archival appraising and processing of historical case files.

Cape Girardeau County microfilmed a large collection of territorial court and administrative history. The Lafayette County Recorder assembled volunteers to prepare the county's marriage records for preservation filming, and county clerks in Crawford, Osage, Ste. Genevieve, and Washington counties had their poor-farm records preserved.

Disaster Planning and Vital Records Protection

Archivists helped municipal and county governments to make progress in security and disaster planning. Computerized inventories produced comprehensive views of collections and identified permanent series for preservation filming through the annual Local Records grant program. This effort in Gasconade County co-sponsored a new public records research and archives facility in Hermann. Other grants supported dozens of executive government offices in courthouses, city government, and two dozen public schools.

Judicial Records

The program continues to make significant progress in judicial records preservation, including the creation of computer databases, which provides access points for researchers to develop new insights concerning Missouri's social history. Christian, Clay, Cooper, Dade, Jasper, Mississippi counties, and St. Louis City provided new access to this important heritage. Volunteers and student interns from local communities brought phases of these projects to fruition years before our agency could have accomplished the task with existing staff resources.

Conservation Lab

The Local Records Program manages the state's only publicly funded conservation lab. The staff of four professional conservators treats unique documents from the State Archives and local and state government offices. This year's major project was the rare *Map of a Topographical Survey of the Swamp Lands of South-East Missouri*, hand-drawn cartography from 1894 in preparation for the massive drainage and land reclamation of the Missouri Bootheel. This huge map, 63 x 93 inches, came from the DNR



Conservation Lab

Division of Land Survey. Conservators helped pilot a method to have large-scale maps digitized. The staff made significant progress in the preservation of the state's *Registre d'Arpentage*, the colonial Souldard surveys, and treatment on the 1865 Missouri Constitution. Plats from Jackson, Osage, and Randolph counties received successful treatments. Conservators provided on-site guidance and assistance at the opening of two 100-year time capsules in Lawrence and Callaway counties. They assisted several Recorders of Deeds that discovered permanent records housed in deteriorating plastic housing. A variety of governmental and private agencies and dozens of citizens received consultation and guidance for the environmental management of holdings.

Education and Outreach

Program staff lent their expertise in presentations at regional, state, and national associations. Outreach included participation in local government associations, educational committees, and professional organizations. Staff chaired the Government Records Section of the Society of American Archivists and held leadership positions within the National Association of Government Archives and Records Administrators. In Missouri, archivists presented programs at the annual Collectors and County Commissioners' conferences and regional meetings of the City and County Clerks associations. The senior conservator was keynote speaker at a national conference in Brazil and provided on site consultation for their National Archives and National Library.

Local Records Board

The Local Records Board, appointed by the Secretary of State, meets annually with the program staff to discuss and promulgate records retention schedules. The Board issued a significant revision of the County Collectors' Manual and issued a new Municipal Police Clerks Manual. These manuals offer direction in daily management, audits, and public inquiries. Current Web site access to these rules exceeds 65,000 inquiries annually. The Board promulgated revisions to the Hospital District, Municipal Clerk, Public School, and Recorder of Deeds manuals. Additionally, staff undertook a comprehensive review of the

Assessors' Offices and established a General Records schedule for documents common to all offices.

Members of the Local Records Board- FY01

Kenneth Bryant
Saline County Clerk

Mary Helen Murphy
Director of Records
Jackson County

Jeff Chorpening
Village Trustee
Gravois Mills

Dr. Pal Rao
Higher Education
Central Missouri State University

Joe Dark
Charleston Library

David Sapp
Historical Society
Boone County

Arthur C. Kellum
Public Schools
St. Louis County

Lynn Stowe
Recorder of Deeds
Laclede County

Linda Love
Callaway County Clerk

Francis Turner
Savannah

Linda Lowes
Director of Government Services
City of Sikeston

Olive Wood
City Clerk
Cabool

Peggy McGaugh
Carroll County Clerk

State Records Management Program

The Records Management Program's mission is to promote the efficiency and continuity of government, document the rights of Missouri citizens, hold state officials accountable for their actions and preserve our state's heritage by providing state agencies with the instruments to develop effective and efficient information control. To fulfill this mission, the division provides state government agencies with the expertise, knowledge, and resources to develop and make use of effective records management programs.

Records Analysis and Consultation

Government records are an invaluable resource. They document the business of government. They provide evidence as to how decisions were made and policies implemented. They clarify obligations and protect citizens' rights and privileges. Records provide the basis for continuity in government.

Records Management works with agencies to effectively control the costs associated with the growing number of records they create each year. Most records should only be kept for as long as they are needed to support administrative, legal, and fiscal functions. Some records, typically less than one percent of those created in a given year, should be retained indefinitely because of their historical significance. The host of information technologies used in state government has made records management issues more perplexing than ever before. Records analysts and electronic records archivists offer a variety of professional consulting services to help officials overcome these challenges. The analysts and archivists research statutes, regulatory codes, and similar records series in state's across the nation to determine the maximum time records must be retained. They assist state agencies in identifying records that no longer need to be retained. They demonstrate how efficiencies are realized when records are organization making them quicker and easier to locate. The staff also helps agencies determine the most cost effective storage solution for records that they must retain whether that is in their offices, the State Records Center, or the microfilm vault. The staff makes more than 800 agency contacts each year.

Records Retention and Disposition Schedules

The most important records management challenge is determining how long to keep records. A *Records Retention and Disposition Schedule* dictates how long records must be maintained to serve legal, fiscal, administrative, and historical purposes. Staff works with agencies to determine appropriate retention periods. Once approved by the State Records Commission, the schedule serves as the legal authority for the agency to either destroy obsolete records or transfer historical records to the Missouri State Archives. The staff currently maintains more than 1,000 records retention and disposition schedules.

You Should Know Brochures

Records management functions apply to paper records, microfilmed records, and electronic records. The State and Local Records Law (RSMo 109.210) defines a record as any

“ . . .document, book, paper, photograph, map, sound recording or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business.”

During FY01, the staff developed a series of brochures to give state government an overview of the services that Records Management offers to assist them with their records regardless of media or format. In addition to information about the State Records Center, and microfilming services, the staff developed guidance for state governments grappling with electronic recordkeeping challenges. An informational brochure, *Three Things You Should Know About Electronic Records* is available at <http://www.sos.state.mo.us/records/recmgmt/resources.asp>. Additionally, the staff developed a set of best practices to assist information technology departments with their recordkeeping practices. These guidelines were designed to ensure the viability of electronic records by documenting the processes and procedures used to create, store, and maintain them. This practice will assure that records can be accessed across changes in technology.

State Records Center

Many records must be maintained for years longer than they are actively used. The inactive life of a record can range anywhere from two years to 75 years or more after its creation. In fact, some records must be maintained permanently. Records that have reached an inactive status are ideal candidates for storage within the State Records Center. The State Records Center saves the state money by providing off site storage at a much lower price per cubic foot than storage in agency office space. A 1998 study, conducted by the National Archives and Records Administration, found it costs \$23.10 per cubic foot per year to store records in an office environment. On a per year average, the cost to store records in the State Records Center is approximately \$1.26 per cubic foot.

While Records Management is the physical custodian of such records, the transferring agency maintains intellectual control over its records. Thus, only the agency has access to its records while they are stored in the State Records Center. State agencies with approved *Records Retention and Disposition Schedules* are eligible to store records in the State Records Center.

Facilities

The State Records Center is actually three separate facilities. The Kirkpatrick State Information Center (KSIC) is the main facility. The KSIC's climate-controlled environment was designed for the protection and preservation of long-term records (those with a retention of more than ten years) and permanent records. The facility can hold 150,000 cubic feet (or boxes) of records. The KSIC has been at capacity since 1995. New records can only be taken into the facility as obsolete records are removed.

Records stored at the annex facilities experience the extremes of Missouri's temperature and humidity changes. Thus, every effort is made to ensure that only short-term records (those with a retention period of ten years or less) are kept at these facilities. Beginning in FY01, long-term records that cannot be accommodated within the KSIC are stored in the Annex facilities.

Annex 1 is located just off Missouri Boulevard in Jefferson City. It houses 76,000 cubic feet of records.

Annex 1 has been at capacity since October 2000. Annex 2, which is located just off West Truman Blvd. in Jefferson City, opened in July 2001. Annex 2's capacity is 90,000 cubic feet of records. Thus, the State Records Center's total capacity is 316,000 cubic feet.



First Boxes at Annex 2 – July 9, 2001

Accessions and Destruction

Typically, net growth of records storage is 16,000 cubic feet per year. (Accessions of new records minus destruction of obsolete records equals net growth.) During FY01, the State Records Center could only take in new records as obsolete records were destroyed. Accessions were held to 21,592 cubic feet of records. Destruction of obsolete records became a top priority, as the space was desperately needed for new accessions. Staff recycled 16,407 cubic feet. Thus, net growth for the year was 5,185 cubic feet.

To illustrate the cost savings of storing records in the State Records Center, assume that the retention period for the 21,592 cubic feet of records accessioned in FY01 is five years. Processing and transportation costs make the first year a box is stored the most expensive - \$2.36. The cost to process and destroy a box is \$.83. Again, the average per year cost to store a box in the State Records Center is \$1.26. Table 1 compares the costs of storing FY01 accessions for five years in the records center versus storing them within the agencies' offices.

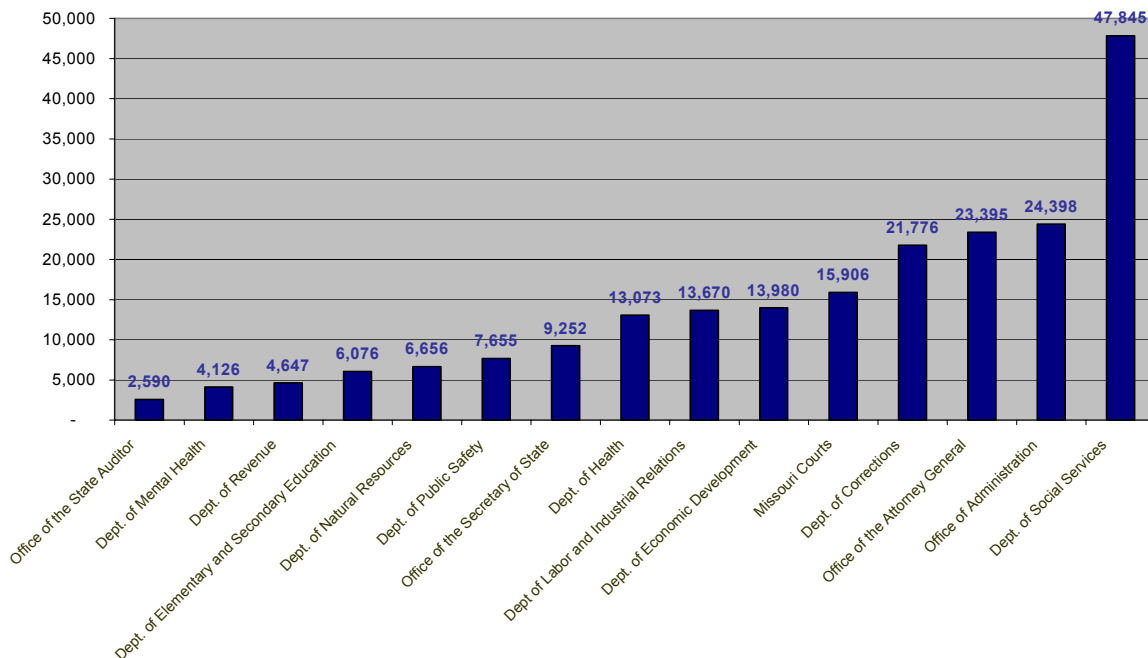
Table 1. Cost to Store Records in the State Records Center v.
Agency Office Space

Costs	State Records Center	Agency Office Space
Year 1	\$2.36	\$23.10
Years 2-5	5.04	92.40
Destruction	0.83	
Total Cost per box	\$8.23	\$115.50
Cost to store 21,592 boxes five years	\$177,702.16	\$2,493,876

Holdings

While Records Management maintains more than 1,000 *Records Retention and Disposition Schedules*, roughly only 170 agencies take advantage of the program's services. Table 2 shows the volume of records stored by the fifteen most active agencies.

Table 2. Number of Boxes Stored by Agency

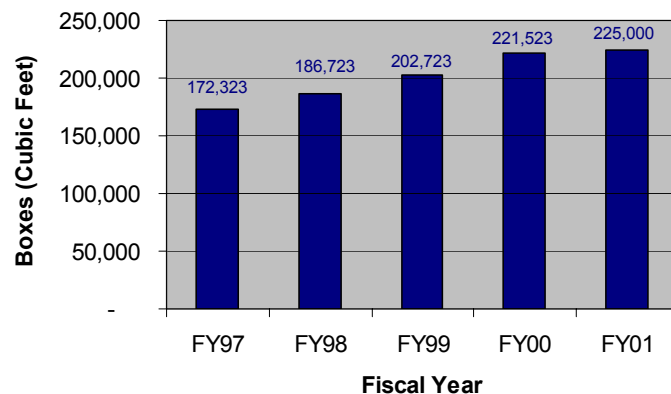


Records Center Campus

Despite the growth of e-government, the need to store both short-term and long-term paper records continues to rise. Records Management estimates paper records volumes will continue to escalate over the next 20 to 25 years at a rate of .7 percent per year. At its

current growth rate of 16,000 cubic feet per year, the State Records Center will be at capacity within six years. Table 3 illustrates storage growth of over the past five years.

Table 3. State Records Center Storage
FY97 through FY01



To minimize the risk of damage to official state records, thus making them inaccessible, Records Management has developed a proposal to create a records center campus. A campus approach will provide adequate space and facilities for expansion over time. The proposed records center campus will provide additional environmentally sound conditions for the protection and preservation of long-term and permanent records.

The proposal offers several advantages. Economies of scale in staffing, equipment, and facility costs will be realized as storage will be consolidated into one annex facility. A larger facility, and land to add to the building, will alleviate the need to obtain additional annex facilities every three to five years. A larger facility will also provide adequate space to include an electronic media vault. As agencies create and store more records on electronic media, they will need a cost-effective and environmentally sound storage solution. Records Management already has received inquiries for such storage.

Records Management recognizes that the Records Center Campus proposal requires further consideration given the state's current budget situation. As the State Records Center will be at capacity within six years, the proposal must be addressed in the near future. The Division estimates that the campus will achieve an average savings of more than \$2 million year. Through such cost savings, the records center campus will pay for itself in less than six years.

Courier Services

Agencies within Jefferson City are provided with pick-up and delivery services. Center personnel schedule these services. State agencies outside of Jefferson City are responsible for arranging for their own shipment of records. Center personnel assist in locating transportation services that may be used by out-of-town agencies

Servicing the Records

Agencies retain full access to their records in the State Records Center. If an agency needs files from its boxes, Records Management retrieves the file and sends it to the agency. If the agency returns the file, a staff member refiles it in the appropriate box. This process is referred to as *Pull Requests*. On average, Records Management processes 70,000 pull requests each year.

Imaging Services

Microfilm is an ideal storage medium for the preservation of long-term and historically significant records. Imaging Services operates a full-service microfilm laboratory. Services include source document microfilming, microfilm processing and duplication, rigorous quality assurance testing, and storage within a state-of-the-art vault.

Source Document Conversion

Some records are better suited for microfilming than others. A general rule of thumb is if a records series must be retained for more than twenty years, it may be more cost effective to store microfilm than paper. However, there are other factors to consider including how often the records are referenced, if they must be updated, and the quantity of the records. The Record Analysis and Consultation unit can assist agencies with these sorts of considerations. During FY01, Imaging Services filmed 3,753 cubic feet of paper records producing 14,719,039 images.

Processing, Duplication, and Quality Assurance

In addition to processing and duplicating film that the unit has created, staff processes and duplicates film created by state agencies. Technicians visually inspect each roll of microfilm and conduct tests for density and resolution. If defects are found during this inspection, the film is rejected and the project is re-filmed. During FY01, technicians processed 10,622 rolls of microfilm and duplicated 21,338 rolls.

Vault Storage

The vault is kept at a constant temperature of 58° (plus or minus 2°) with a constant humidity level of 35% (plus or minus 2%). If either the temperature or the humidity level fluctuates past the plus or minus two mark, an alarm will sound and service technicians will be immediately dispatched. Properly stored film, such as that within the vault, should have a usable life of at least 500 years. Currently, more than 116,000 rolls of archival microfilm are stored in the vault.



QC Technician Kathy Blankenship inspects microfilm for defects

State Records Commission

The State Records Commission advises the Records Management program. The seven-member Commission, established in 1965 by state statute (RSMo 109.250), determines the disposition of state documents based on administrative, legal, research, and historical values.

Members of the State Records Commission

Matt Blunt, Chair
Secretary of State

Senator Charles Gross,
Missouri Senate

Kenneth H. Winn, Secretary
State Archivist

Representative Ralph Monaco
Missouri House of Representatives

Ken Kuster, Designee
for State Auditor Claire McCaskill

Brett Berri, Designee
for Attorney General Jeremiah W. Nixon

John E. Downs
Director
State Forms Management Division

Dr. James Goodrich
Executive Director
State Historical Society